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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/266,680	03/11/1999	JEFF YOUNG	07844/292001	6131

42766 7590 08/20/2004

MR. RAYMOND WILLIAMS  
 105 SW SOUTH AVENUE  
 BLUE SPRINGS, MO 64014

EXAMINER
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BASHORE, WILLIAM L

ART UNIT	PAPER NUMBER
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2176

DATE MAILED: 08/20/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/266,680	<b>Applicant(s)</b> YOUNG ET AL.	
	<b>Examiner</b> William L. Bashore	<b>Art Unit</b> 2176	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 22 July 2004.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 14-18, 20-30 and 32-40 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 14-18, 20-30, 32-40 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

Art Unit: 2176

### DETAILED ACTION

1. This action is responsive to communication: RCE/amendment filed 07/22/2004, to the original application filed 3/11/1999. IDS filed 12/3/2001, and 4/11/2002.
2. Claims 14-18, 20-30, 32-40 remain rejected under 35 U.S.C. 103(a) as being unpatentable over Motoyama, and Takasawa.
3. Claims 14-18, 20-30, 32-40 are pending. Claims 14, 22, 25, 28, 34 are independent claims.

#### *Continued Examination Under 37 CFR 1.114*

4. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 7/22/2004 has been entered.

#### *Claim Rejections - 35 USC § 103*

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Art Unit: 2176

6. Claims 14-18, 20-30, 32-40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Motoyama et al. (hereinafter Motoyama), U.S. Patent No. 6,009,436 issued December 28, 1999, in view of Takasawa et al. (hereinafter Takasawa), UK Patent Application, GB 2 307 571 A, publication date May 28, 1997.

In regard to independent claim 14, Motoyama teaches:

- converting a format of a first source document (SGML) into a format of another similarly structured document (HTML). Motoyama teaches mapping from SGML to HTML utilizing mapping tables of Appendices A-D, said mapping utilizing various heuristics in order to perform said mapping (Motoyama Appendix A-D, Abstract, column 3 lines 27-29, column 6 lines 30-32; compare with claim 14 "*A computer executable method of converting....the method comprising:*").

- Motoyama does not specifically teach identifying patterns common within documents. However, Takasawa teaches a structure list for "totalizing" extracted logical structure information from sample documents (Takasawa page 9, near bottom). Takasawa parses documents, and compares various elements to elements and attributes in said structure list (i.e. appearance frequency), resulting in a listed pattern of structured elements in the documents, precipitating generation of a DTD based upon said list (Takasawa page 9 near bottom, to page 10 at top, also pages 11-12, and page 16 at bottom, Figures 8-11; compare with claim 14 "*identifying patterns common to the first and second source documents;*", "*using the identified common patterns*", and "*based on the identified common patterns*"). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa's pattern identification to Motoyama, providing Motoyama the benefit of simplifying the exchange of similar documents for reuse, by taking into account common patterns in the mapping process (Takasawa page 1 at middle).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama's conversion entails an SGML document

Art Unit: 2176

start tag specifically mapped to its (differently named) HTML equivalent (both tags are of type “start tag”, but are named differently (Motoyama column 8 lines 14-18, 40-42, SGML tag named <t> maps to HTML tag named <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 14 “...wherein identifying patterns includes identifying an element that is common to the first and second source documents but has a different name in the first source document than in the second source document”).

- mapping elements and sub-elements from one source document to equivalent elements and sub-elements in the second document, the mapping of SGML elements to HTML elements are used by Motoyama to produce documents accordingly (Motoyama column 6 lines 1-10, Appendix B, D, Figures 1A – 1D, 3A- 3B; compare with claim 14 “map elements and sub-elements... in the second source document,”).

Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (Motoyama column 8 lines 14-18, 40-42, SGML tag <t> maps to HTML tag <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 14 “...including mapping a first element in the first source document to a second element in the second source document”, and “the first element and the second element having different element names.”).

**In regard to dependent claim 15**, Motoyama teaches mappings within Appendices A-D, said appendices comprising various tag replacement (Motoyama column 29 line 45, to column 31 line 48; compare with claim 15).

**In regard to dependent claim 16**, Motoyama teaches transformation of an SGML document into an HTML document, said transformation incorporating analyzation of their respective DTDs, and utilizing the mappings of Appendices A-D (Motoyama Abstract, column 6 lines 1-4, 30-32, Appendices A-D, Figures 3A-3B; compare with claim 16).

Art Unit: 2176

**In regard to dependent claim 17**, Motoyama does not specifically teach creating a DTD if one does not exist in the first document. However, Takasawa teaches a DTD created from analyzation of structured information from a sample document (Takasawa page 4 at middle; compare with claim 17). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa's DTD creation to Motoyama, providing Motoyama the flexibility of creating an initial DTD if needed.

**In regard to dependent claim 18**, claim 18 is rejected using the same rejection and rationale as set forth by the Examiner in the current rejection of claim 14.

**In regard to dependent claim 20**, claim 20 is rejected using the same rejection and rationale as set forth by the Examiner in the current rejection of claims 19.

**In regard to dependent claim 21**, claim 21 incorporates substantially similar subject matter as claimed in claim 14, and in further view of the following, is rejected along the same rationale.

Motoyama teaches that processing systems are known in which a processor converts a markup language document automatically into another format (Motoyama column 2 lines 42-45; compare with claim 21), therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to automate Motoyama's invention to benefit from the advantages that automation provides (i.e. freeing up human resources).

**In regard to independent claim 22**, Motoyama teaches:

- converting a format of a first source document (SGML) into a format of another similarly structured document (HTML). Motoyama teaches mapping from SGML to HTML utilizing mapping tables of Appendices A-D, said mapping utilizing various heuristics in order to perform said mapping (Motoyama Appendix A-D,

Art Unit: 2176

Abstract, column 3 lines 27-29, column 6 lines 30-32; compare with claim 22 “*A method of converting....the method comprising:*”).

- Motoyama does not specifically teach identifying patterns common within documents. However, Takasawa teaches a structure list for “totalizing” extracted logical structure information from sample documents (Takasawa page 9, near bottom). Takasawa parses documents, and compares various elements to elements and attributes in said structure list (i.e. appearance frequency), resulting in a listed pattern of structured elements in the documents, precipitating generation of a DTD based upon said list (Takasawa page 9 near bottom, to page 10 at top, also pages 11-12, and page 16 at bottom, Figures 8-11; compare with claim 22 “*identifying patterns common to the source document and the set of source documents;*”, “*the common pattern*”, and “*....based upon the identified common patterns...*”). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa’s pattern identification to Motoyama, providing Motoyama the benefit of simplifying the exchange of similar documents for reuse, by taking into account common patterns in the mapping process (Takasawa page 1 at middle).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (both tags are of type “start tag”, but are named differently (Motoyama column 8 lines 14-18, 40-42, SGML tag named <t> maps to HTML tag named <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 22 “*...wherein identifying patterns includes identifying an element that is common to the first and second source documents but has a different name in the first source document than in the second source document*”).

- mapping elements and sub-elements from one source document to equivalent elements and sub-elements in the second document, the mapping of SGML elements to HTML elements are used by Motoyama to produce documents accordingly (Motoyama column 6 lines 1-10, Appendix B, D, Figures 3A- 3B; compare with



Art Unit: 2176

claim 22 “*mapping elements and sub-elements ... in the set of source documents.*”, and “*in the common pattern of the source document*”, and “*in common pattern of the set of source documents*”).

- Motoyama teaches mappings within Appendices A-D, said appendices comprising various tag replacement (Motoyama column 29 line 45, to column 31 line 48; compare with claim 22 “*replacing tag names*”).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (Motoyama column 8 lines 14-18, 40-42, SGML tag <t> maps to HTML tag <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 22 “*...including mapping a first element in the first source document to a second element in the second source document*”, and “*the first element and the second element having different element names.*”).

**In regard to dependent claim 23**, Motoyama teaches transformation of an SGML document into an HTML document, said transformation incorporating analyzation of their respective DTDs, and utilizing the mappings of Appendices A-D (Motoyama Abstract, column 6 lines 1-4, 30-32, Appendices A-D, Figures 3A-3B; compare with claim 23).

**In regard to dependent claim 24**, Motoyama does not specifically teach creating a DTD if one does not exist in the first document. However, Takasawa teaches a DTD created from analyzation of structured information from a sample document (Takasawa page 4 at middle; compare with claim 24). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa’s DTD creation to Motoyama, providing Motoyama the flexibility of creating an initial DTD if needed.

**In regard to independent claim 25**, Motoyama teaches:

- converting a format of a first source document (SGML) into a format of another similarly structured document (HTML). Motoyama teaches mapping from SGML to HTML utilizing mapping tables of Appendices A-D, said mapping utilizing various heuristics in order to perform said mapping (Motoyama Appendix A-D, Abstract, column 3 lines 27-29, column 6 lines 30-32; compare with claim 25 “*A computer program....causing a computer system to:*”).

- Motoyama does not specifically teach identifying patterns common within documents. However, Takasawa teaches a structure list for “totalizing” extracted logical structure information from sample documents (Takasawa page 9, near bottom). Takasawa parses documents, and compares various elements to elements and attributes in said structure list (i.e. appearance frequency), resulting in a listed pattern of structured elements in the documents, precipitating generation of a DTD based upon said list (Takasawa page 9 near bottom, to page 10 at top, also pages 11-12, and page 16 at bottom, Figures 8-11; compare with claim 25 “*identify patterns common to the first and second source documents;*”, “*using the identified common patterns*”, and “*....based upon the identified common patterns...*”). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa’s pattern identification to Motoyama, providing Motoyama the benefit of simplifying the exchange of similar documents for reuse, by taking into account common patterns in the mapping process (Takasawa page 1 at middle).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (both tags are of type “start tag”, but are named differently (Motoyama column 8 lines 14-18, 40-42, SGML tag named <t> maps to HTML tag named <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 25 “*...wherein to identify patterns includes to identify an element that is common to the first and second source documents but has a different name in the first source document than in the second source document*”).

Art Unit: 2176

- mapping elements and sub-elements from one source document to equivalent elements and sub-elements in the second document, the mapping of SGML elements to HTML elements are used by Motoyama to produce documents accordingly (Motoyama column 6 lines 1-10, Appendix B, D, Figures 3A- 3B; compare with claim 25 “*map elements and sub-elements ... of the second source document.*”).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (Motoyama column 8 lines 14-18, 40-42, SGML tag <? maps to HTML tag <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 25 “...to map a first element in the first source document to a second element in the second source document”, and “the first element and the second element having different element names.”).

**In regard to dependent claim 26**, Motoyama teaches mappings within Appendices A-D, said appendices comprising various tag replacement (Motoyama column 29 line 45, to column 31 line 48; compare with claim 26).

**In regard to dependent claim 27**, Motoyama teaches transformation of an SGML document into an HTML document, said transformation incorporating analyzation of their respective DTDs, and utilizing the mappings of Appendices A-D (Motoyama Abstract, column 6 lines 1-4, 30-32, Appendices A-D, Figures 3A-3B; compare with claim 27).

**In regard to independent claim 28**, Motoyama teaches:

- a storage device (Motoyama Figure 19 item 1236; compare with claim 28 “*a storage device*”).
- converting a format of a first source document (SGML) into a format of another similarly structured document (HTML). Motoyama teaches mapping from SGML to HTML utilizing mapping tables of Appendices

Art Unit: 2176

A-D, said mapping utilizing various heuristics in order to perform said mapping (Motoyama Appendix A-D, Abstract, column 3 lines 27-29, column 6 lines 30-32; compare with claim 28 “*A computer system comprising*”, and “*for storing a source document...the set of source documents;*”).

- Motoyama does not specifically teach identifying patterns common within documents. However, Takasawa teaches a structure list for “totalizing” extracted logical structure information from sample documents (Takasawa page 9, near bottom). Takasawa parses documents, and compares various elements to elements and attributes in said structure list (i.e. appearance frequency), resulting in a listed pattern of structured elements in the documents, precipitating generation of a DTD based upon said list (Takasawa page 9 near bottom, to page 10 at top, also pages 11-12, and page 16 at bottom, Figures 8-11; compare with claim 28 “*identify patterns common to the first and second source documents;*”, and “*...based upon the identified common patterns...*”). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa’s pattern identification to Motoyama, providing Motoyama the benefit of simplifying the exchange of similar documents for reuse, by taking into account common patterns in the mapping process (Takasawa page 1, at middle).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (both tags are of type “start tag”, but are named differently (Motoyama column 8 lines 14-18, 40-42, SGML tag named <t> maps to HTML tag named <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 28 “*...wherein to identify patterns includes to identify an element that is common to the first and second source documents but has a different name in the first source document than in the second source document*”).

- mapping elements and sub-elements from one source document to equivalent elements and sub-elements in the second document, the mapping of SGML elements to HTML elements are used by Motoyama to

Art Unit: 2176

produce documents accordingly (Motoyama column 6 lines 1-10, Appendix B, D, Figures 3A- 3B; compare with claim 28 “*map elements and sub-elements .... of the set of source documents.*”).

- Motoyama teaches mapping elements in a first document, to another element in a second document (Motoyama column 6 lines 29-38, Figures 1A – 1D). It is noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama’s conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (Motoyama column 8 lines 14-18, 40-42, SGML tag <⌞ maps to HTML tag <html>, etc.) (see also Motoyama column 7 lines 5-11; compare with claim 28 “...including mapping a first element in the first source document to a second element in the second source document”, and “the first element and the second element having different element names.”).

**In regard to dependent claims 29-30, 32-33,** claims 29-30, 32-33 reflect the computer program product comprising computer readable instructions used for performing the methods as claimed in claims 17-18, 20-21, respectively, and are rejected along the same rationale.

**In regard to claims 34-36,** claims 34-36 reflect the computer program product comprising computer readable instructions used for performing the methods as claimed in claims 22-24, respectively, and are rejected along the same rationale.

**In regard to dependent claims 37-40,** Motoyama does not specifically teach identification without user intervention. However, Takasawa teaches automatically generating a DTD subsequent to computer analysis of input documents (Takasawa page 8 – bottom paragraph). It would have been obvious to one of ordinary skill in the art at the time of the invention to apply Takasawa to Motoyama, providing Motoyama the benefit of automation to free up manual human resources.

### *Response to Arguments*

7. Applicant's arguments filed 7/22/2004 have been fully and carefully considered but they are not persuasive.

Applicant argues on page 9-10 of the amendment that the cited references do not teach or suggest identifying patterns include identifying common elements with different names. It is respectfully noted that Motoyama teaches an SGML document with its corresponding DTD (Figure 1C and 1A, respectively). A mapping is created (Figure 1B), resulting in conversion to an equivalent HTML document (Figure 1D). Motoyama's conversion entails an SGML document start tag specifically mapped to its (differently named) HTML equivalent (i.e. the SGML tag <t> maps to HTML tag <html>, etc.). Both tags are common to both document types because both tags represent the same type of tag (a "start tag") used to begin blocks of code. However, in SGML this tag is named <t>, and in HTML it is named <html>.

Takasawa parses documents, and compares various elements to elements and attributes in said structure list (i.e. appearance frequency), resulting in a listed pattern of structured elements in the documents. The examiner applies Takasawa's pattern of structured elements to Motoyama, so that Motoyama can apply common pattern analysis to the (differently named) commonly mapped tag elements, resulting in a more accurate final analysis.

### *Conclusion*

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to William Bashore whose telephone number is (703) 308-5807. The examiner can normally be reached on Monday through Friday from 11:30 AM to 8:00 PM EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Joseph Feild, can be reached on (703) 305-9792.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-3900.

Art Unit: 2176

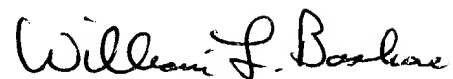
9. Any response to this action should be mailed to:

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

or faxed to:

**(703-872-9306)** (for formal/after-final communications intended for entry)

**Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive,  
Arlington, VA, Fourth Floor (Receptionist).**

  
William L. Bashore  
Patent Examiner, AU 2176  
August 17, 2004